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VIA ECF

Honorable Denise L. Cote
United States District Court
500 Pearl Street
New York, NY 10007

MEMO ENDORSED

Granted.
Denise Cote
10/8/19

Re: Securities and Exchange Commission v. Lek Securities Corp. et al.
Case No. 17 CV 1789 (DLC)

Dear Judge Cote:

Plaintiff Securities and Exchange Commission (“SEC”) and defendants Lek Securities Corporation and Samuel Lek (collectively, the “Lek Defendants”) write to advise the Court that the parties have reached settlement, subject to the Court’s approval, and to request the Court’s permission pursuant to Paragraph 4.A of the Court’s Individual Civil Practices to file an attachment to the settlement documents for Lek Securities under seal.

On August 29, 2019, the parties advised the Court that they had entered into a prospective settlement, subject to review by the SEC’s Commissioners. ECF No. 399. The Commissioners have now approved the settlement terms, and the SEC is today filing the Proposed Consents and Final Judgments for both Lek Defendants for the Court’s consideration. Attachment 1 to the Consent of Lek Securities and the Proposed Final Judgment against Lek Securities is a list of the firm’s current foreign customers. The firm’s foreign customers are not known to the public, and the list thus contains confidential proprietary information.

Accordingly, the parties respectfully request that the Court authorize the filing under seal of Attachment 1 to the Consent of Lek Securities and Proposed Final Judgment.

Respectfully submitted,

/s/

Sarah S. Nilson

cc: All counsel of record (via ECF)